

This schedule applies to: Department of Archaeology and Historic Preservation

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Washington State Department of Archaeology and Historic Preservation relating to the unique functions of the preservation of historic and cultural physical reminders of the past, including archaeological sites, structures, objects, and buildings. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Department of Archaeology and Historic Preservation are revoked. The Department of Archaeology and Historic Preservation must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 3, 2015.

Signature on File

For the State Auditor:
Cindy Evans

Signature on File

For the Attorney General:
Isaac Williamson

Signature on File

For the Office of Financial Management:
Kathy Cody

Signature on File

The State Archivist:
Steve Excell

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	March 5, 2014	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	December 3, 2014	Minor revisions to the Environmental Review and Compliance and the Historic Sites and Resources sections.
1.2	June 3, 2015	Elimination of records series Historic Preservation Grants – Final (DAN 87-03-39516) to use grants section in the <i>State Government General Records Retention Schedule</i> .

For assistance and advice in applying this records retention schedule,
please contact the Department of Archaeology and Historic Preservation's Records Officer
or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. ARCHAEOLOGICAL SITES

This section covers records relating to the protection and preservation of archaeological sites.

1.1 ARCHAEOLOGICAL SITE PROTECTION

The activity of the discovery, development, excavation and monitoring of archaeological sites and those containing human remains.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14-03-68485 Rev. 0	<p>Excavation Permits/Violations</p> <p>Records relating to excavations performed on designated sites.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications for permit; • Inspections of site, photos • Violations and remedial actions <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain until file is closed <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>
87-03-39515 Rev. 1	<p>Inventory – Archaeological Sites</p> <p>Records relating to all recorded archaeological sites within the state.</p> <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain for 1 year after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

1.1 ARCHAEOLOGICAL SITE PROTECTION

The activity of the discovery, development, excavation and monitoring of archaeological sites and those containing human remains.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14-03-68486 Rev. 0	<p>Human Remains</p> <p>Records relating to human remains discovered during a dig or onsite in the development of property.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Maps and other documentation of the location of remains; • Inventories of remains; • Final disposition actions. <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain for 1 year after case closed <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>
87-03-39518 Rev. 2	<p>Survey – Cultural Resources</p> <p>Provides a record of cultural resource areas surveyed by archaeologists and historians within the state.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Survey reports • Ethnographic studies • Monitoring plans <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain for 3 years after date of survey <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

2. ENVIRONMENTAL REVIEW

This section covers records relating to environmental oversight for archaeological and historic sites and its administration which are not covered by the *State Government General Records Retention Schedule*.

2.1 ENVIRONMENTAL REVIEW AND COMPLIANCE

The activity of review and compliance in accord with local, state and federal government regulations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87-03-39509 Rev. 2	<p>Notifications – Proposed Construction and Development of Sites</p> <p>Records relating to notifications of proposed or recommended federal or state funded, licensed, and permitted construction or development projects for the determination of any potential adverse effects on historic/archaeological sites.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notifications of proposed or recommended projects; • Description of project including any blueprints and drawings of proposed development/project; • State Environmental Policy Act (SEPA) submittals; • Determinations by Department of Archaeology and Historic Preservation. 	<p>Retain for 7 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>
87-03-39511 Rev. 2	<p>Mitigation of Impacts to Sites – Memoranda of Agreement</p> <p>Records relating to an agency's course of action for a project which has been determined to have an adverse effect on archaeological/historic sites.</p> <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain for 10 years after termination of agreement <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

3. HISTORIC SITES

This section covers records relating to the protection and preservation of historic sites, structures and objects.

3.1 HISTORIC SITE PRESERVATION

The activity of the restoration and preservation of historic sites.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87-03-39513 Rev. 1	Historic Preservation – Easement Agreements Records relating to agreements entered into voluntarily by owners of properties listed in the National Historic Register of Historic Places, the Heritage Barn Register or Washington Heritage Register, and the Department of Archaeology and Historic Preservation (DAHP). These agreements bind the property owner for period of time defined in the agreement, to consult with and receive written approval from DAHP before undertaking any changes that may alter the historic character of the listed property. Owners of a historic property receive a benefit (usually monetary) in exchange for entering into such an agreement.	Retain for 10 years after agreement expires <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
87-03-39525 Rev. 1	Tax Incentive Projects Provides a record of projects applied for under the 1976 Tax Reform Act/Economic Recovery Tax Act of 1981 for the rehabilitation of commercial historic properties. Includes, but is not limited to: <ul style="list-style-type: none"> • Applications; • Descriptions and drawings of project; • Certifications. 	Retain for 15 years after completion of project <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

3.2 HISTORIC SITES AND RESOURCES

The activity of inventorying, listing and registering historic properties, structures and resources within the state.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87-03-39512 Rev. 2	<p>State and National Register Nomination Applications – Accepted</p> <p>Provides documentation for a property’s historic, archaeological or architectural merit for listing in the State and/or National Register of Historic Places.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications • Supporting research and historic documentation • Letters of acceptance <p><i>Note: Archaeological site location information is exempt from public disclosure in accordance with RCW 42.56.300.</i></p>	<p>Retain for 5 years after date approved by the Advisory Council</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>
87-03-39514 Rev. 1	<p>Survey – Historic Resources</p> <p>Provides a record of historic resources not yet listed in or evaluated by DAHP for eligibility to the State or National Registers.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Survey inventory forms ; • Register nomination applications not accepted; • Historic property inventory data. 	<p>Retain for 3 years after date of survey</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

3.2 HISTORIC SITES AND RESOURCES

The activity of inventorying, listing and registering historic properties, structures and resources within the state.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87-03-39520 Rev. 1	<p><i>Historic American Buildings Survey and Historic American Engineering Record Mitigation</i></p> <p>Provides documentation for a property's historic and/or architectural significance as mitigation when slated for demolition or otherwise adversely affected by development. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Engineering records, recording reports and surveys; • Supporting research and historic documentation; • Letters of acceptance; • Photographic documentation. 	<p>Retain for 10 years after end of calendar year <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents

required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."

Public Records

RCW 40.14.010 – Definition and classification of public records.

"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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See the State Government General Records Retention Schedule for additional "Archival" records.

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